

Module 5

Chapter 2

Performance Appraisal Information

Chapter Overview

Introduction	The Department of Defense (DoD) Appraisal System is an integral part of performance management within the DoD. The DoD Performance Appraisal System allows Components to establish their own performance appraisal program, but requires that they conform to statute and regulation which fall within the flexibilities of the system. The modern DCPDS allows the performance appraisal data to be captured and recorded in the system.
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Before You Begin	<p>The Air Force Lab Demonstration US Gov Perf Appraisal window is identical to the one used in this procedure.</p> <p>The other Demos:</p> <ul style="list-style-type: none"> • Army Lab Demo • China Lake Demo • Naval Research Lab Demo • Space Nav Warfare Demo • Warfare Center Demo <p>These have identical windows with the exception of the last data field that is omitted.</p>
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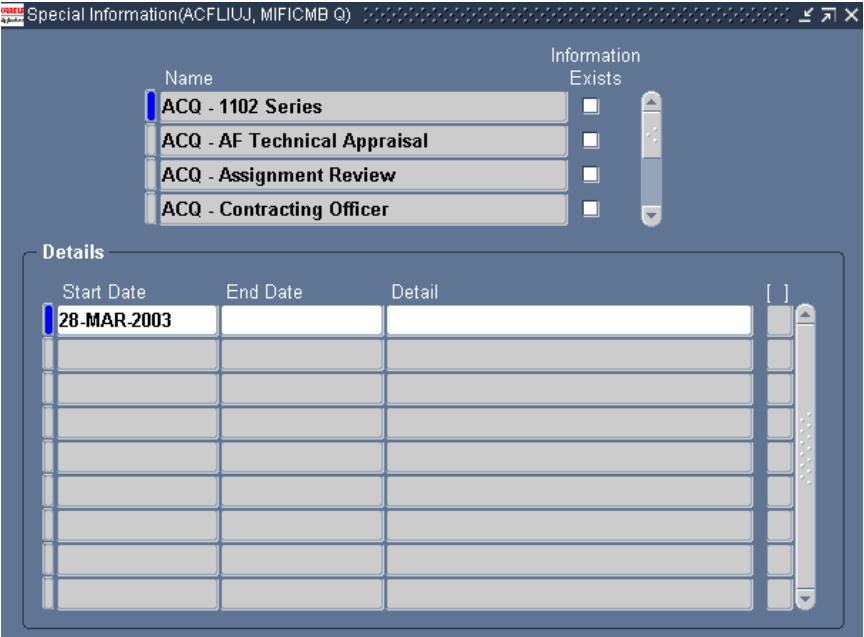
Entering Performance Appraisal Information

Quick Guide

The following is a quick guide to the steps for Entering Performance Appraisal Data:

- **Navigation Path** → *People* → *Enter and Maintain* → **<Open>**.
- In the **Find Person** window, locate the employee's name by typing the last name of the employee and click the **<Find>** button.
- Select the employee's name from the list of values then click the **<OK>** button
- *Or*
- Input the first few letters of the employee's last name, followed by "%," then click the **<Find>** button, select the employee's name, and click the **<OK>** button.
- Click the **<Special Info>** button on the **People** window.
- Continue following the steps on Entering Performance Appraisal Data.

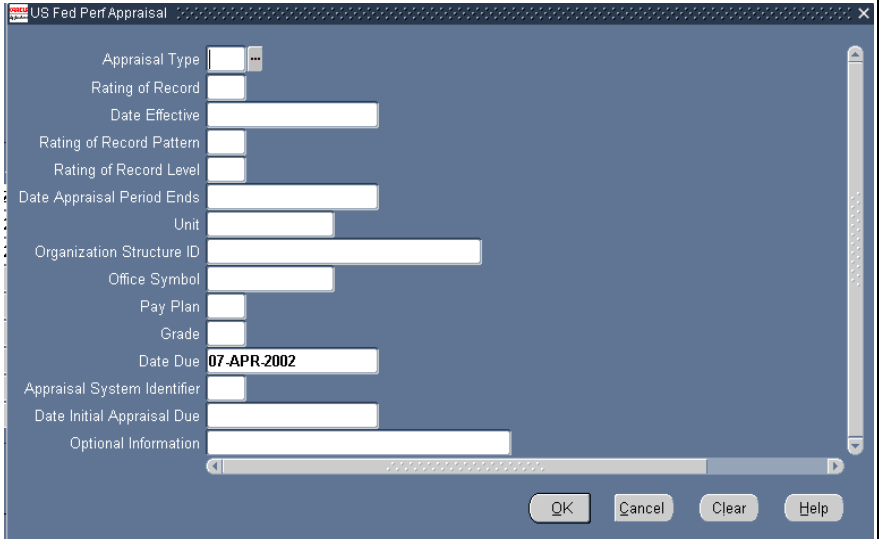
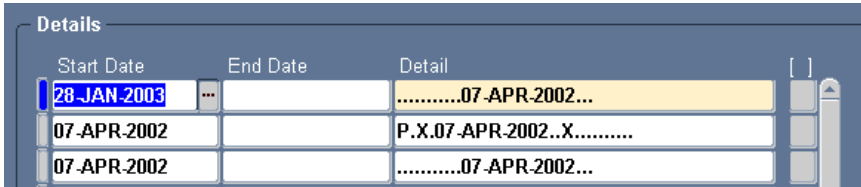
Entering Performance Appraisal Data

Step	Action
1	<p>The Special Information window opens. Scroll to <i>US Fed Perf Appraisal</i> in the <i>Name</i> data field or use the query technique. Place your cursor in the blank <i>Detail</i> data field and click.</p> 

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Entering Performance Appraisal Information, Continued

Entering Performance Appraisal Data (continued)

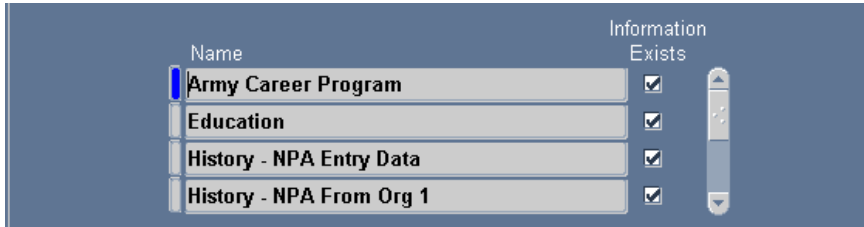
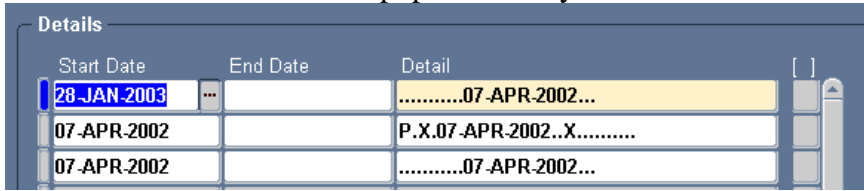

Step	Action
2	<p>The US Fed Perf Appraisal window opens. Complete the data fields below by using the LOV's in the window or by typing in the data.</p> 
3	Complete the data fields then click the <OK> button.
4	<p>The Special Information window opens with the information populated in the <i>Detail</i> data field.</p> 
5	Click Save icon on the Toolbar and exit the windows

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Adding a Performance Appraisal

Adding a Performance Appraisal

You can add an instance to existing appraisal data.

Step	Action
1	Click the < Special Information > button to open the window, place the cursor in the <i>Name</i> data field and press F11 key to clear the field.
2	Place a check mark in the <i>Information Exists</i> checkbox and press both the CTRL +F11 key.
3	Any <i>Special Information Type</i> (SIT) that has information will display. Use the scroll bar to Select the <i>US Fed Perf Appraisal</i> . Place your cursor in the blank <i>Detail</i> data field and click. <div data-bbox="544 751 1404 976">  </div>
4	The past appraisal data opens in the Details Region with the most current data at the bottom. Click in the first blank data field under <i>Start Date</i> . The current date populates but you can override it. <div data-bbox="544 1138 1404 1327">  </div>
5	Click in the <i>Detail</i> data field to display US Fed Perf Appraisal window, complete it, and click the < OK > button.
6	Click <i>Save</i> icon on the Toolbar and exit the windows. <div data-bbox="472 1518 526 1581">  </div> <p>Note: When you reopen the Special Information window, the entries will be reordered with the most current one at the top.</p>

Entering Non appropriated Fund Appraisal Data

Quick Guide

The following is a quick guide to the steps to Entering Performance Appraisal Data:

- **Navigation Path** → *People* → *Enter and Maintain* → **<Open>**.
- On the **Find Person** window, locate the employee by typing the last name of the employee and click the **<Find>** button.
- Select the employee's name from the list of values and click the **<OK>** button
- *Or*
- Input the first few letters of the employee's last name, followed by “%,” click the **<Find>** button, select the employee's name, and click the **<OK>** button
- Click the **<Special Info>** button on the **People** window.
- Continue following the steps on Entering NAF Appraisal Data.

Entering NAF Appraisal Data

Scroll to *Appraisal – Non-Appr Fund* in the *Name* data field.

Entering NAF Appraisal Data

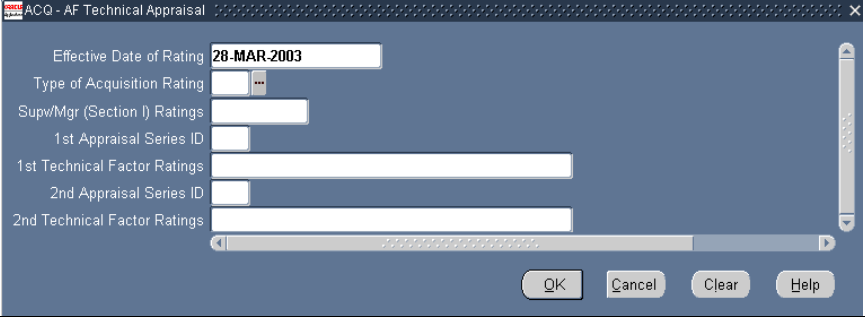
Step	Action
1	<p>The Appraisal – Non Appr Fund window opens. Complete the data fields by typing in the information or use the LOV.</p>
2	Click <OK> .
3	Click Save on the Toolbar and exit the windows.

Entering Air Force Technical Appraisal Data

Purpose

This procedure provides the steps to complete the Air Force Technical Appraisal (TA) for eligible registrants. It is used in conjunction with the annual performance appraisal to form part of the Whole Person Score. Employees who are currently in permanent GS/GM-15 positions do **not** receive a TA.

Entering AF Technical Appraisal

Step	Action
1	Follow the Quick Guide in the Entering Performance Appraisal Information Section to navigate to the Special Information window. With your cursor in the <i>Name</i> data field, scroll to the ACQ – AF Technical Appraisal . Place your cursor in the blank <i>Detail</i> data field and click.
2	<p>The ACQ – AF Technical Appraisal window opens. Complete the data fields by typing in the information or use the LOV.</p> 
3	Click the <OK> button.
4	Click the Save icon and exit the windows.

Processing Mass Appraisals

Purpose

This section provides information on how to process mass appraisals that allow for efficient processing of a group of similar appraisals.

Before You Begin

- Mass appraisals can be used when you want to update multiple records at one time.
- When you process mass appraisals, the People Record in HR is updated. An RPA is not produced as it is with other mass actions.
- You can export the data from the **Preview** window to an Excel spreadsheet.

Who Does It



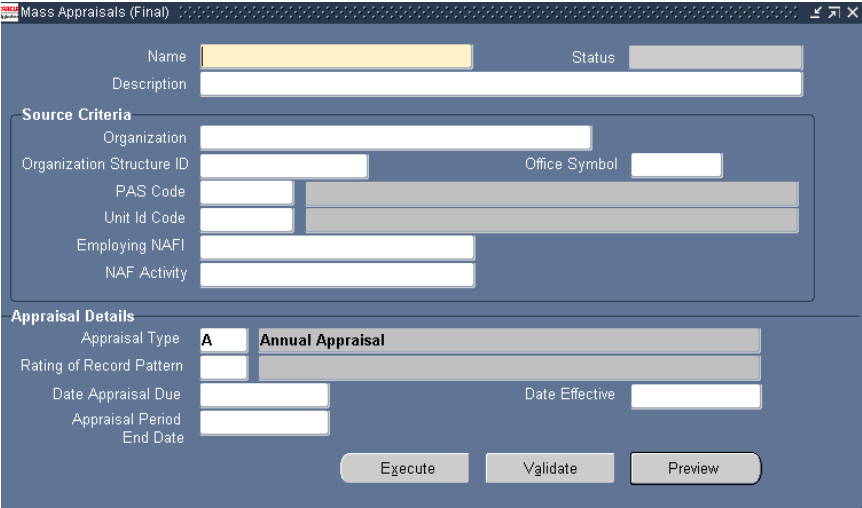


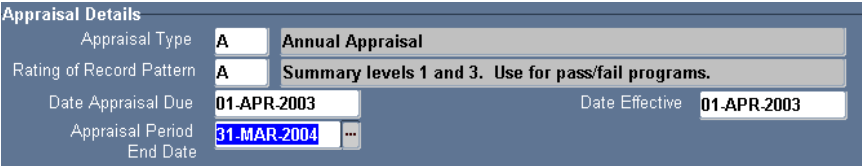
The capability to create and execute a mass appraisal is available only in the CIVDOD Personnelist responsibility.

Processing a Mass Appraisal

Step	Action
1	Navigation Path → <i>Mass Actions</i> → <i>Mass Appraisal</i> → <i>Final Mass Appraisals</i> → <Open>.
	Notes: <ul style="list-style-type: none"> • The Mass Appraisal (Preview) window is available as a “rough draft” window. It is exactly like the Mass Appraisal (Final) window, but without the <Execute> taskflow button. You can create the Mass Appraisal by clicking either menu item. Mass Appraisals can only be processed in the Final Mass Appraisal window.

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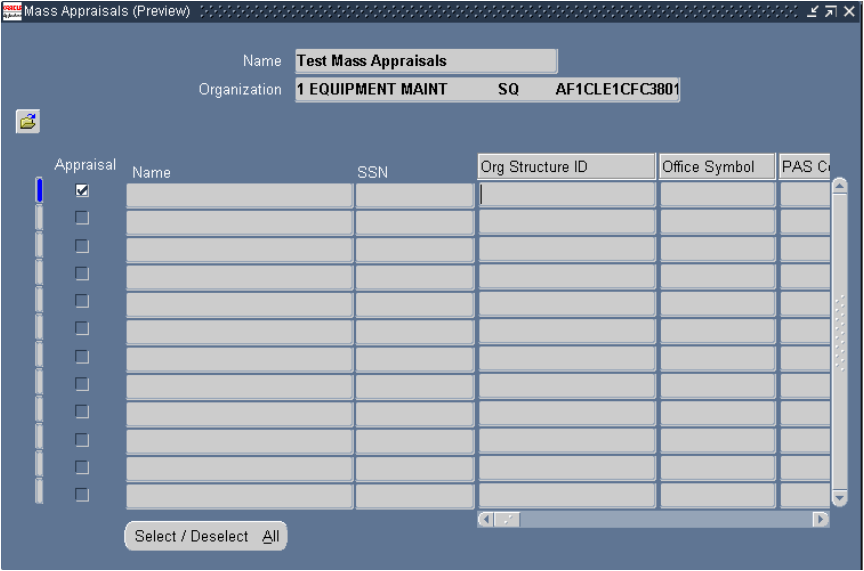

Processing Mass Appraisals, Continued

Step	Action
2	<p>The Mass Appraisal (Final) window opens with three taskflow buttons. With your cursor in the <i>Name</i> data field, type in a unique name for the appraisal action you are creating.</p>  <p> Note: The <i>Status</i> data field is system-generated to show how far your award has progressed when you save your action; e.g., Unprocessed, Submitted, etc. No action is required.</p>
3	<p>The <i>Description</i> data field is free text you type in to describe your action and can accommodate 100 characters. Complete the remaining data fields by using the LOV or typing in the data.</p>
4	<p>Click the LOV icon to select the organization</p> 
5	<p>Use the LOV's to select the appropriate information to enter in all required data fields in the Appraisal Details region.</p> 
6	<p>Click <i>Save</i> icon on the Toolbar.</p> <p>Note: Completing this window also completes the <i>Source Criteria</i> and <i>Appraisal Details</i> Regions. Specific appraisal data such as <i>Target Rating of Record</i>, <i>Target Factor (AF)</i>, etc. are inputted using the <Preview> taskflow button.</p>

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Processing Mass Appraisals, Continued

Previewing Your Action By clicking the <**Preview**> button on the **Mass Appraisals (Final)** window You open the window where names for a mass appraisal can be viewed and selected or deselected, and where individual ratings are displayed.

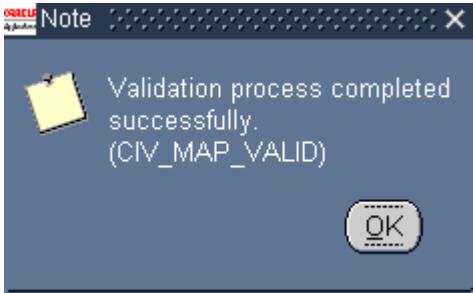
Step	Action
7	<p>On the Mass Appraisals (Final) window, click the <Preview> button. The Mass Appraisals (Preview) window opens with data elements populated from the previous window.</p>  <p> Note: The check mark in the Appraisal checkbox indicates the name on the line is included in the mass appraisal action. Deselect the name if it is <u>not</u> to be included. If a large number of names appear on the window, but only a few are to be included, click the <Select/Deselect All> button to remove the checkmark from the checkboxes. Then, select the few names to be included by individually clicking in the checkbox next to the names.</p>
8	<p>Click Save icon on the Toolbar and exit the window to return to the Mass Appraisals (Final) window.</p>

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Processing Mass Appraisals, Continued

Validating the Mass Appraisal

Clicking the <**Validate**> button on the **Mass Appraisals (Final)** window opens a Message Box. Click <**Validate**> after Preview has been completed to ensure there are no rejects before Executing the action.

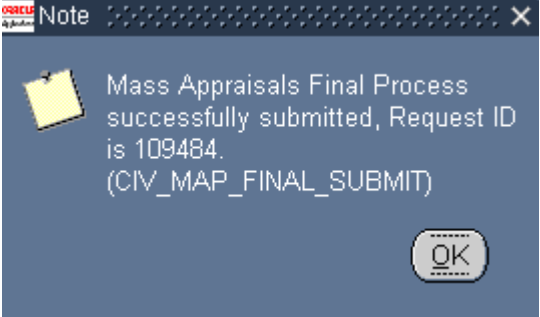

Step	Action
9	<p>Click the <Validate> button on the Mass Appraisals (Final) window a Message Box will display the following “Validation process completed successfully.” Click the <OK> button.</p>  <p style="text-align: center;">OR</p> <p>An Error Message Box can appear which indicates the required items that have not been entered.</p> <p>Note: Air Force requires the <i>Target Factor</i> column to be completed, otherwise, an error will occur.</p>
9 (cont)	To view the errors navigate to Processes and Report , View Requests . The Find Requests window opens. Click the < Find > button to view your entire request.
9	Click the < View Output > button to view error details.
9 (cont)	To correct the actions on the Mass Appraisals (Preview) window, save your action, and return to the Mass Appraisals (Final) window.

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Processing Mass Appraisals, Continued

Executing the Mass Appraisal

Clicking the <**Execute**> button on the **Mass Appraisals (Final)** window processes your action by submitting it to update the database.

Step	Action
10	<p>Click the <Execute> button on the Mass Appraisals (Final) window a Message Box will display informing “Mass Appraisals Final Process successfully submitted.”</p> 
11	<p>Click the <OK> button. To return to the Mass Appraisals (Final) window.</p> <p> Note: Once your have “Executed” or “Processed” the action, the taskflow buttons (Execute, Validate, and Preview) are grayed out.</p>

Processing Mass Appraisals Upload/Update Processes

Purpose

This section outlines the steps to be taken to update appraisal information for Acquisition Workforce Demonstration Project employees.

Who Does It



The capability to process mass appraisal is available to the CIVDOD Personnelist and US Federal HR Manager

Processing a Mass Appraisal

Step	Action
Note:	Copy the file containing the appraisal transactions your hard drive noting the subdirectory you are placing it in. The appraisal file must be in the exact format as specified in Figure 1 of this document. Insure there are no blank lines at the bottom of the file before loading the file
1	Navigation Path → <i>Mass Actions</i> → <i>Mass Appraisals</i> → <i>Load Mass Appraisals</i> → <Open> .
2	<p>The Mass Appraisals Load window will open</p>
3	Under “File Name” you will need to type in the complete path to the file you copied to your hard drive (e.g., c:\Appr_bk.txt). The name of the file must be in the standard DOS format; therefore, please be sure that it does not exceed 8 characters. It is best to put the file in either the root directory or the Temp directory. If the path to the file is too long it may not be found.
4	Provide an appropriate name for the “Mass Appraisal Name”. Make a note of the name you type in – you will use it later in the process.

Continued on next page

Processing Mass Appraisals Upload/Update Processes

Processing a Mass Appraisal (continued)

Step	Action
5	Provide a description of the process in the “Description” field.
6	<p>The system supplies a default value for the “Rating of Record Pattern” and the “Rating of Record Level”. You can change them as needed. (<i>For the Rating of Record Pattern, use A for Pass/Fail, H for 5 level rating system, etc.</i>) If the Rating of Record Level is left blank on this screen, the preview screen will auto-populate this field with same value that is provided in the ASCII file for Rating of Record except for the following demonstration project records which will be populated as follows:</p> <ul style="list-style-type: none"> a. If the Demo Location Code = 1 or 2 (China Lake and SPAWAR) and the Rating of Record Level is blank, the Rating of Record Level in the preview screen will also be blank. Rating of Record Level is not applicable to these two Demonstration Projects. b. If the Demo Location Code = 4 (NRL) and the Rating of Record Level is blank, the Rating of Record Level in the preview screen will be populated as follows: <ul style="list-style-type: none"> 1) If Rating of Record = G then populate Rating of Record Level with 3 2) If Rating of Record = N then populate Rating of Record Level with 1 d. If the Demo Location Code = A (Air Force Lab Demo) and the Rating of Record Level is blank, the Rating of Record Level in the preview screen will be populated as follows: <ul style="list-style-type: none"> 1) If Rating of Record = A then populate Rating of Record Level with 5 2) If Rating of Record = D then populate Rating of Record Level with 4 3) If Rating of Record = G then populate Rating of Record Level with 3 4) If Rating of Record = K then populate Rating of Record Level with 2

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Processing Mass Appraisals Upload/Update Processes

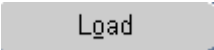
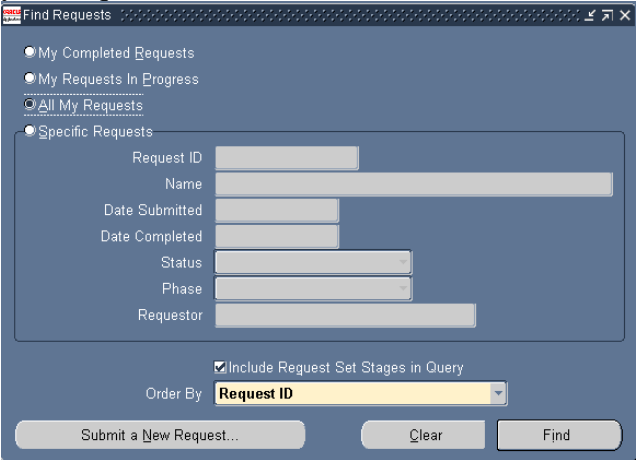
Processing a Mass Appraisal (continued)

Step	Action
6 (cont)	<p>e. If the Demo Location Code = Q (DoD Acq Demo) and the Rating of Record is blank, the Rating of Record Level in the preview screen will be populated as follows:</p> <ol style="list-style-type: none"> 1) If Owning Agency = AF, NV, DD and Rating of Record = A then populate Rating of Record Level with 5 2) If Owning Agency = AF, NV, DD and Rating of Record = D then populate Rating of Record Level with 4 3) If Owning Agency = AF, NV, DD and Rating of Record = G then populate Rating of Record Level with 3 4) If Owning Agency = AF, NV, DD and Rating of Record = N then populate Rating of Record Level with 1 5) If Owning Agency = AR and Rating of Record = E then populate Rating of Record Level with 5 6) If Owning Agency = AR and Rating of Record = H then populate Rating of Record Level with 4 7) If Owning Agency = AR and Rating of Record = L then populate Rating of Record Level with 3 8) If Owning Agency = AR and Rating of Record = U then populate Rating of Record Level with 1 <p>f. If the Demo Location Code = R (Army Lab Demo) and the Rating of Record Level is blank, the Rating of Record Level in the preview screen will be populated as follows:</p> <ol style="list-style-type: none"> 1) If Rating of Record = E then populate Rating Record Level with 5 2) If Rating of Record = H then populate Rating Record Level with 4 3) If Rating of Record = L then populate Rating Record Level with 3 4) If Rating of Record = U then populate Rating Record Level with 1

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Processing Mass Appraisals Upload/Update Processes

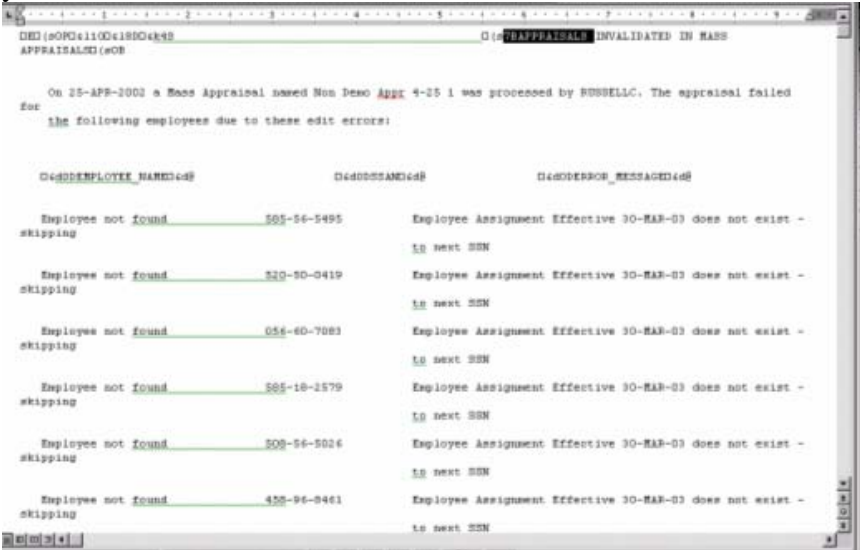
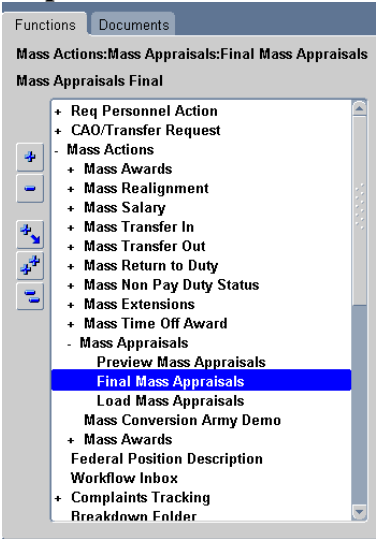
Processing a Mass Appraisal (continued)

Step	Action
7	Type in the “Date Appraisal Due” and the “Appraisal Period End Date”. <i>When the appraisal is processed, the Performance Salary on the Salary Award DDF under Extra Information on People/Enter and Maintain is generated based business rules for your component.</i>
8	Save the record by clicking on the yellow Floppy Icon on the top line menu.
9	Click on the “Load” button in the lower right corner of the screen. 
10	Once the load process has completed, you will receive a pop-up message providing you with the Request ID number and the number of records that processed.
11	Navigate to Processes and Reports → View Requests <Open> to check the status of the load process.
12	The Find Request window opens click the <Find> button to query your request. 
13	Click the <Refresh Data> button to help bring the Phase to Completed. <i>(Depending on how many organizations you have in your file this may take a little time. When your original job ID says “completed”, all requests are completed.)</i>

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Processing Mass Appraisals Upload/Update Processes

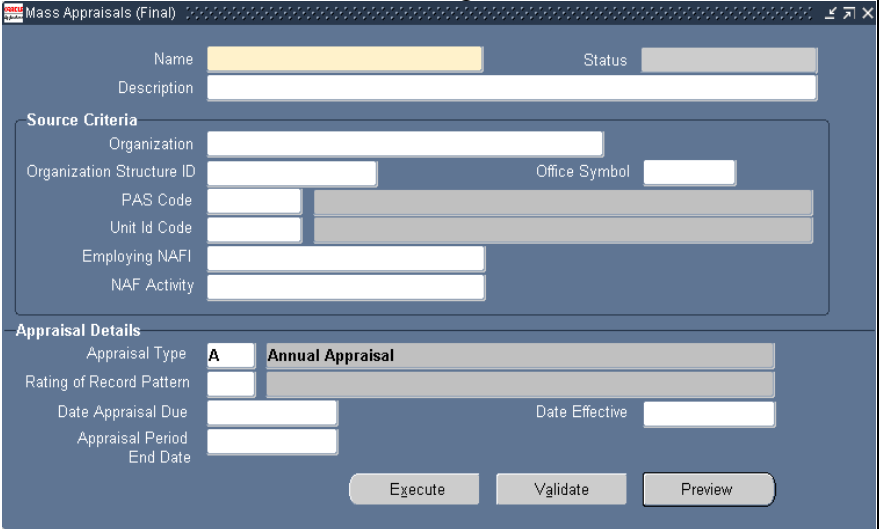
Processing a Mass Appraisal (continued)

Step	Action
14	<p>Click the <View Output> button to review the reports generated. You will receive a report listing any records that could not be loaded (i.e., the employee did not have an assignment as of the effective date of the appraisal) as well as a report indicating successful loading of records for each Organization included in your file. Exit window</p> 
15	<p>From the Navigation window select <i>Final Mass Appraisals</i> <Open></p>  <p>NOTE: Insure that the “Phase” reflects “Completed” for your “Start Automatic Mass Appraisal Load Process” entry before proceeding with these steps.</p>

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Processing Mass Appraisals Upload/Update Processes

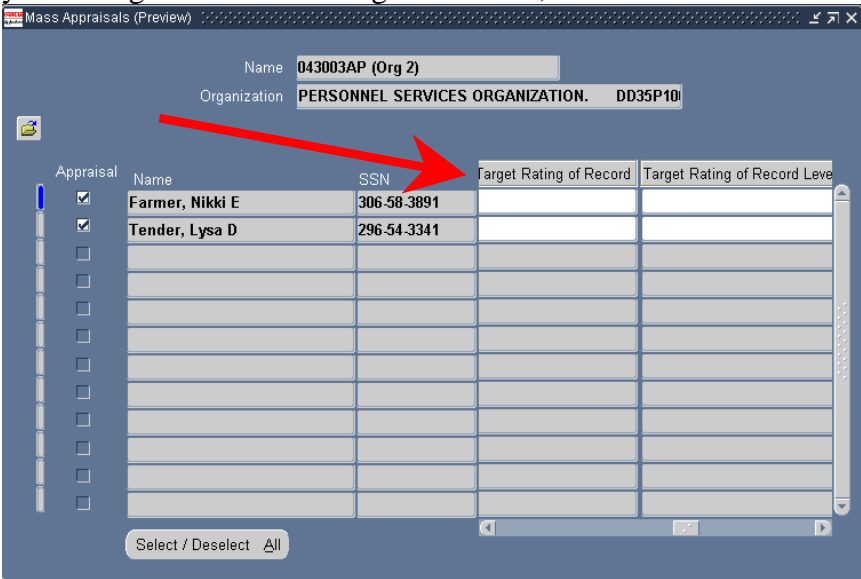

Processing a Mass Appraisal (continued)

Step	Action
16	<p>The Mass Appraisals Final window will open. Press the F11 key then type in the name of the load you provided in step 5 followed by the wildcard character (%) then Press both F11 and the CTRL buttons to execute the query. If your upload file contains employees from different organizations, the system will append a number after the name you provided in step 5 for each of the various organizations (i.e., “Test Appraisal Update (Org 1)”, “Test Appraisal Update (Org 2)”, etc.). By adding the % sign after the name, you are assured of finding all organizations that require appraisal processing as a result of your upload. The following step will need to be followed for each organization</p> 
17	<p>Click the <Preview> button to make sure the right records are selected and they have the correct data in them. To quickly identify all records selected for update, Press the F11 button to place you in query mode, click the “X” under the Appraisal column to deselect it and then re-click it to select it again. Then Press both F11 and the CTRL buttons to execute the query. Your list now will only have employees who were included in the load process.</p>

Continued on the Next Page

Processing Mass Appraisals Upload/Update Processes

Processing a Mass Appraisal (continued)

Step	Action
18	<p>When you completed the form for the Load Mass Appraisals, you provided a default value for Rating of Record Level. This value will need to be changed for employees whose Target Rating of Record Level do not match the default value. To quickly identify and update these records, navigate to the Preview screen and use the F11 query function to identify the records based on their value in the Target Rating of Record column. Update the Target Rating of Record Level value on the first employee and use your arrow down button to navigate to the next record. Copy the value from the first employee and continue using the arrow down button and pasting the new value until all records have been updated. Save your changes. Once all changes are made, exit this screen.</p> <div data-bbox="297 810 534 1360" data-label="Text"> <p>Change Rating of Record Pattern and/or Rating of Record Level if required. Preview other data fields as well to insure data was correct in your file; i.e., Date Effective, etc.</p> </div> 
19	<p>Click the Validate button. If there are errors, navigate to View Requests and review the error report that is generated and make any necessary corrections. Once corrected or if there are no errors, click the Execute button. You will receive a message providing the Request ID.</p> 

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Processing Mass Appraisals Upload/Update Processes

Processing a Mass Appraisal (continued)

Step	Action																
20	<p>After the process has completed successfully, examine the employee's records to verify they were updated with the right information. You will need to look in the "Appr – DOD Acquisition Demo" SIT and in the "US Gov Perf Appraisal" SIT to verify the updates. The demo appraisal SITs are:</p> <table border="1"> <thead> <tr> <th>Demonstration Project</th><th>Special Information Type</th></tr> </thead> <tbody> <tr> <td>China Lake</td><td>Appr – China Lake Demo</td></tr> <tr> <td>DoD Acquisition</td><td>Appr – DoD Acquisition Demo</td></tr> <tr> <td>NRL</td><td>Appr – Naval Research Lab Demo</td></tr> <tr> <td>SPAWAR</td><td>Appr – Space Nav Warfare Demo</td></tr> <tr> <td>Warfare</td><td>Appr – Warfare Center Demo</td></tr> <tr> <td>Air Force Lab Demo</td><td>Appr – Air Force Lab Demo</td></tr> <tr> <td>Army Lab Demo</td><td>Appr – Army Lab Demo</td></tr> </tbody> </table> <p>In addition to checking the appraisal SITs, for China Lake also verify Bonus Indicator and Bonus Reason, if applicable, was loaded correctly to the Navy Unique Information DDF (People → Enter and Maintain → Extra Information → Navy Unique Information). For SPAWAR also verify the Exception to Midpoint. Demo located in the Navy Unique Information DDF (People → Enter and Maintain → Extra Information → Navy Unique Information) updated correctly.</p>	Demonstration Project	Special Information Type	China Lake	Appr – China Lake Demo	DoD Acquisition	Appr – DoD Acquisition Demo	NRL	Appr – Naval Research Lab Demo	SPAWAR	Appr – Space Nav Warfare Demo	Warfare	Appr – Warfare Center Demo	Air Force Lab Demo	Appr – Air Force Lab Demo	Army Lab Demo	Appr – Army Lab Demo
Demonstration Project	Special Information Type																
China Lake	Appr – China Lake Demo																
DoD Acquisition	Appr – DoD Acquisition Demo																
NRL	Appr – Naval Research Lab Demo																
SPAWAR	Appr – Space Nav Warfare Demo																
Warfare	Appr – Warfare Center Demo																
Air Force Lab Demo	Appr – Air Force Lab Demo																
Army Lab Demo	Appr – Army Lab Demo																

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Processing Mass Appraisals Upload/Update Processes

Processing a Mass Appraisal (continued)

Sample Appraisal File Layouts	
The ASCII file format:	
Maximum Field Length	Value
11	SSN (Format 999-9-9999)
	Comma Delimiter
11	APPR_DATE_EFFECTIVE (Format: DD-MMM-YYY)
	Comma Delimiter
1	RATING_OF_RECORD
	Comma Delimiter
1	APPRAISAL_TYPE
	Comma Delimiter
1	BONUS_INDICATOR (Navy Unique Data)
	Comma Delimiter
1	BONUS_REASON (Navy Unique Data)
	Comma Delimiter
1	FACTOR1 (Air Force Unique Data)
	Comma Delimiter
1	FACTOR2 (Air Force Unique Data)
	Comma Delimiter
1	FACTOR3 (Air Force Unique Data)
	Comma Delimiter
1	FACTOR4 (Air Force Unique Data)
	Comma Delimiter
1	FACTOR5 (Air Force Unique Data)
	Comma Delimiter
1	FACTOR6 (Air Force Unique Data)
	Comma Delimiter
1	FACTOR7 (Air Force Unique Data)
	Comma Delimiter
1	FACTOR8 (Air Force Unique Data)
	Comma Delimiter
1	FACTOR9 (Air Force Unique Data)
	Comma Delimiter
1	DEMO_LOCATION_CODE
	Comma Delimiter
1	Exception to Midpoint

Note: Insure there are no blank lines at the bottom of the file before loading the file for Air Force: FACTOR1 through FACTOR9 are concatenated (combined) into one field when updated to DCPDS. The Comma Delimiters between these factors are not mandatory; these factors will load correctly with or without the commas between FACTOR1 thru FACTOR9. Insure all nine factors are input as required.

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Processing Mass Appraisals Upload/Update Processes

Processing a Mass Appraisal (continued)

	Sample Appraisal File Layouts (Non Demonstration Project)
	Air Force 123-99-9999,01-JUN- 2003,4,A,,9,9,9,9,9,9,9,9,9 OR 123-99-9999,01-JUN-2003,4,A,,9999999999 Air Force – GS-15 (Performance Factors excluded): 234-56-7890,01-JUN-2002,3,A All Other Components: 234-56-7890,01-JUN-2002,3,A

	Sample Appraisal File Layouts (Demonstration Project)
	DoD Acq Demo (Air Force) : 123-99-9999,01-JUN- 2003,D,L,,9,9,9,9,9,9,9,9,Q OR 123-99-9999,01-JUN-2003,D,L,,9999999999,Q DoD Acq Demo (Non-Air Force) : 123-99-9999,01-JUN-2003,D,L,,,,,,,,,,,,Q Navy – China Lake : 123-99-9999,01-JUN-2003,A,A,J,1,,,,,,,,,,,,1 Navy – SPARWAR: 123-99-9999,01-JUN-2003,D,A,,,,,,,,,,,,,2,N Navy – Warfare: 123-99-9999,01-JUN-2003,3,A,,,,,,,,,,,,,3 Navy – NRL : 123-99-9999,01-JUN-2003,G,A,,,,,,,,,,,,,4 Air Force Lab Demo: 123-99-9999,01-JUN- 2003,D,A,,9,9,9,9,9,9,9,9,A OR 123-99-9999,01-JUN-2003,D,A,,9999999999,A Army Lab Demo: 123-99-9999,01-JUN-2003,H,L,,,,,,,,,,,,,R

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